



General Assembly

February Session, 2010

***Amendment***

LCO No. 5032

**\*HB0540305032HD0\***

Offered by:

REP. SPALLONE, 36<sup>th</sup> Dist.

To: Subst. House Bill No. 5403

File No. 308

Cal. No. 181

***"AN ACT CONCERNING REVISIONS TO THE CODE OF ETHICS."***

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- 1 In line 236, strike "serve until a successor is appointed or"
  - 2 In line 356, strike "part IV of this chapter"
  - 3 In line 357, strike "part IV of this chapter"
  - 4 In line 366, strike "part IV of this chapter"
  - 5 In line 409, strike both sets of brackets and strike "following"
  - 6 Strike sections 6, 10, 12, 13 and 17 in their entirety and renumber the
  - 7 remaining sections and internal references accordingly
  - 8 In line 804, strike the brackets and strike "person"
  - 9 In line 865, after "Ethics." insert the following: "For purposes of this
  - 10 subsection, "person" does not include anyone who is excluded from
  - 11 the definition of "lobbyist" in subparagraphs (A) to (F), inclusive, of
  - 12 subdivision (12) of section 1-91, as amended by this act."

13 Strike section 20 in its entirety and insert the following in lieu  
14 thereof:

15 "Sec. 20. Section 1-96 of the general statutes is repealed and the  
16 following is substituted in lieu thereof (*Effective October 1, 2010*):

17 (a) Each client lobbyist registrant shall file with the Office of State  
18 Ethics between the first and tenth day of April, July and January a  
19 financial report, signed under penalty of false statement. The April and  
20 July reports shall cover its lobbying activities during the previous  
21 calendar quarter and the January report shall cover its lobbying  
22 activities during the previous two calendar quarters. In addition to  
23 such reports, each client lobbyist registrant which attempts to  
24 influence legislative action shall file, under penalty of false statement,  
25 interim monthly reports of its lobbying activities for each month the  
26 General Assembly is in regular session, except that no monthly report  
27 shall be required for any month in which it neither expends nor agrees  
28 to expend one hundred dollars or more in furtherance of lobbying.  
29 Such interim monthly reports shall be filed with the Office of State  
30 Ethics no later than the tenth day of the month following the last day  
31 of the month reported. If the client lobbyist registrant is not an  
32 individual, an authorized officer or agent of the client lobbyist  
33 registrant shall sign the form. A communicator lobbyist for a  
34 municipality or any subdivision of a municipality, a branch of state  
35 government or any subdivision of state government or a quasi-public  
36 agency shall file the reports described in this subsection utilizing the  
37 client lobbyist reporting schedule.

38 (b) Each individual communicator lobbyist registrant and each  
39 business organization communicator lobbyist registrant shall file  
40 annually with the Office of State Ethics between the first and tenth day  
41 of January a report or reports, signed under penalty of false statement,  
42 reporting the amounts of compensation and reimbursement received  
43 from each of his clients during the previous year. In addition, each  
44 individual communicator lobbyist registrant and each business  
45 organization communicator lobbyist registrant shall: (1) Report the

46 fundamental terms of contracts, agreements or promises to pay or  
47 receive compensation or reimbursement or to make expenditures in  
48 furtherance of lobbying, including the categories of work to be  
49 performed and the dollar value or compensation rate of the contract, at  
50 the time of registration; (2) report, in accordance with the schedule set  
51 forth in subsection (a) of this section, any amendments to these  
52 fundamental terms, including any agreements to subcontract lobbying  
53 work; and (3) report, in accordance with the provisions of subsection  
54 (a) of this section, any expenditures for the benefit of a public official in  
55 the legislative or executive branch, [or] a member of the staff or  
56 immediate family of such official which are unreimbursed and  
57 required to be itemized. Such report shall not include any expenditures  
58 for the benefit of a public official in the legislative or executive branch  
59 who is (A) the spouse, fiancée or fiancé of the individual  
60 communicator lobbyist making the expenditure, (B) the parent, brother  
61 or sister of such spouse or such individual communicator lobbyist, or  
62 (C) the child of such individual communicator lobbyist or the spouse  
63 of such child. Such report shall not include the disclosure of food and  
64 beverage provided by a communicator lobbyist registrant to a public  
65 official in the legislative or executive branch, or a member of [his] the  
66 staff or immediate family of such official, at a major life event, as  
67 defined by the Citizen's Ethics Advisory Board, of the registrant. All  
68 such information shall be reported under penalty of false statement.

69 (c) An individual communicator lobbyist registrant shall file a  
70 separate report for each person from whom he received compensation  
71 or reimbursement. Notwithstanding any provision of this subsection to  
72 the contrary, a business organization to which one or more individual  
73 communicator lobbyist registrants belong may file a single report for  
74 each client lobbyist in lieu of any separate reports that individual  
75 registrants are required to file pursuant to this subsection.

76 (d) Each registrant who files a notice of termination under  
77 subsection (c) of section 1-95, as amended by this act, shall file with the  
78 Office of State Ethics a financial report, under penalty of false  
79 statement, between the first and tenth day of January of the year

80 following termination.

81 (e) Each client lobbyist registrant financial report shall be on a form  
82 prescribed by the board and shall state expenditures made and the  
83 fundamental terms of contracts, agreements or promises to pay  
84 compensation or reimbursement or to make expenditures in  
85 furtherance of lobbying. Any such fundamental terms shall be  
86 reported once in the monthly, quarterly or post-termination report  
87 next following the entering into of such contract. Such financial report  
88 shall include an itemized statement of each expenditure of ten dollars  
89 or more per person for each occasion made by the reporting registrant  
90 or a group of registrants which includes the reporting registrant for the  
91 benefit of a public official in the legislative or executive branch, a  
92 member of [his] the staff or immediate family of such official itemized  
93 by date, beneficiary, amount and circumstances of the transaction. The  
94 requirement of an itemized statement shall not apply to an  
95 expenditure made by a reporting registrant or a group of registrants  
96 which includes the reporting registrant for (1) the benefit of the  
97 members of the General Assembly at an event that is a reception to  
98 which all such members are invited or all members of a region of the  
99 state, as such term is used in [subdivision (11) of subsection (g)]  
100 subdivision (7) of section 1-91, as amended by this act, are invited,  
101 unless the expenditure is thirty dollars or more per person, or (2)  
102 benefits personally and directly received by a public official or state  
103 employee at a charitable or civic event at which the public official or  
104 state employee participates in his or her official capacity, unless the  
105 expenditure is thirty dollars or more per person, per event. If the  
106 compensation is required to be reported for an individual whose  
107 lobbying is [incidental to his] within the scope of such person's regular  
108 employment, it shall be sufficient to report a prorated amount based  
109 on the value of the time devoted to lobbying. On the first financial  
110 report following registration each client lobbyist registrant shall  
111 include any expenditures incident to lobbying activities which were  
112 received or expended prior to registration and not previously reported  
113 to the Office of State Ethics.

114 (f) The Citizen's Ethics Advisory Board shall, by regulations  
115 adopted in accordance with chapter 54, establish minimum amounts  
116 for each item required to be reported, below which reporting may be  
117 made in the aggregate. The provisions of this subsection shall not  
118 apply to expenditures made for the benefit of a public official or a  
119 member of such person's staff or immediate family.

120 (g) Each former registrant shall (1) report receipts or expenditures  
121 incident to lobbying activities during his period of registration which  
122 are received or expended following termination of registration and (2)  
123 report each expenditure of ten dollars or more per person for each  
124 occasion made by him for the benefit of a public official or a member  
125 of [such official's] the immediate family or staff of such official which  
126 occurs within six months after termination of registration.

127 (h) The Office of State Ethics shall, [within] not later than thirty days  
128 after receipt of a financial report which contains the name of a public  
129 official in the legislative or executive branch or a member of [such  
130 official's] the staff or immediate family of such official, send a written  
131 notice to such public official, of the filing of the report and the name of  
132 the person who filed it."